



DEC 27 2004

PTO/SB/08a/b (08-03)

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Substitute for form 1449A/B/PTO

*Complete if Known*

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(Use as many sheets as necessary)*

Sheet	1	of	2	Attorney Docket Number	337348046US
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### U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
R.B.	2003-0187490	10-02-2003	Bradford Gliner		
	2003-0149457	08-07-2003	Tcheng et al.		
	2002-0087201	07-04-2002	Andrew Firluk		
	4,431,000	12-14-1984	Butler et al.		
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↓	6,687,525	05-09-2002	Rodolfo Llinas		
R.B.	6,690,974	06-20-2002	Archer		

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Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)			
R.B.	WO-WO 03/043690	05-30-2003	Vertis Neuroscience, Inc.		
↓	WO-WO 03/082402	03-26-2003	Vertis Neuroscience, Inc.		
R.B.	EP-EP 0 998 958-A2	10-05-2000	Medtronic, Inc.		

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
R.B.		BENABID, A.L. et al, "Chronic electrical stimulation of the ventralis intermedius nucleus of the thalamus as a treatment of movement disorders," J. Neurosurg., April 1997, 86(4); 737; <a href="http://www.ncbi.nlm.nih.gov">http://www.ncbi.nlm.nih.gov</a> ; [accessed 11/18/2003]
		International Search Report for PCT/US03/39077; May 2004; Applicant: Northstar Neuroscience, Inc. (3 pgs)
		International Search Report for PCT/US03/03678; July 2003; Applicant: Northstar Neuroscience, Inc. (4 pgs)
		International Search Report for PCT/US03/39078; May 2004; Applicant: Northstar Neuroscience, Inc. (5 pgs)
		International Search Report for PCT/US02/31112; December 2002; Applicant: Vertis Neuroscience, Inc. (7 pgs)
↓		International Search Report for PCT/US02/31127; July 2003; Applicant: Vertis Neuroscience, Inc. (3 pgs)
R.B.		International Search Report for PCT/US02/31128; September 2002; Applicant: Vertis Neuroscience, Inc. (6 pgs)

Examiner Signature	R.D. Bradford	Date Considered	6/12/2005
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Substitute for form 1449A/B/PTO				Complete If Known	
				Application Number	10/606,202
				Filing Date	June 24, 2003
				First Named Inventor	Andrew D. Firluk
				Art Unit	3762
				Examiner Name	R. D. Bradford
Sheet	2	of	2	Attorney Docket Number	337348046US

Q.B.	Written Opinion for PCT/US03/03678; December 2003; Applicant: Northstar Neuroscience, Inc. (4 pgs)
↓	Written Opinion for PCT/US02/32695; June 2003; Applicant: Vertis Neuroscience, Inc. (2 pgs)
↓	Written Opinion for PCT/US02/31127; May 2003; Applicant: Vertis Neuroscience, Inc. (2 pgs)
↓	Written Opinion for PCT/US02/31112; August 2003; Applicant: Vertis Neuroscience, Inc. (5 pgs)
Q.B.	Written Opinion for PCT/US02/07077; July 2003; Applicant: Vertis Neuroscience, Inc. (4 pgs)

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Examiner Signature	<i>R. Bradford</i>	Date Considered	4/29/05
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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> Form PTO-1449 (Modified) (use several sheets if necessary)				<b>COMPLETE IF KNOWN</b>	
				Application Number	10/606,202
				Confirmation Number	4373
				Filing Date	06/24/2003
				First Named Inventor	Andrew D. Firluk
				Group Art Unit	3762
				Examiner Name	Unknown
Sheet <b>1</b> of <b>1</b>				Attorney Docket No.	33734-8046US

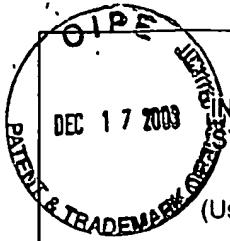
## **U.S. PATENT DOCUMENTS**

## **FOREIGN PATENT DOCUMENTS**

#### **OTHER PRIOR ART-NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume/issue number(s), publisher, city and/or country where published.	T

EXAMINER	DATE CONSIDERED
<i>T. Scardino</i>	4/29/05



**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
Form PTO-1449 (Modified)  
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**COMPLETE IF KNOWN**

Application Number	10/606,202
Confirmation Number	4373
Filing Date	June 24, 2003
First Named Inventor	Andrew D. Firlik
Group Art Unit	3762
Examiner Name	Unknown

Sheet 1 of 10 Attorney Docket No. 33734-8046US

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No.	U.S. Patent or Application		Name of Patentee or Inventor of Cited Document	Date of Publication or Filing Date of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		NUMBER	Kind Code (if known)			
R.B.		US2002/0028072		Kashiyama	03/07/02	
		US2002/0169485		Pless et al.	11/14/02	
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L.B.		5,417,719		Hull et al.	05/23/95	

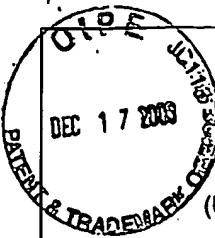
EXAMINER

*R. B. Kashiyama*

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Sheet 2 of 10 Attorney Docket No. 33734-8046US

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First Named Inventor	Andrew D. Firlik
Group Art Unit	3762
Examiner Name	Unknown

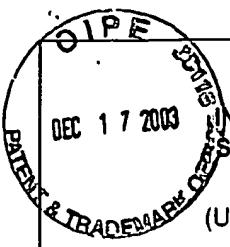
U.S. PATENT DOCUMENTS						
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		NUMBER	Kind Code (if known)			
R.B.		5,423,864		Ljungstroem	06/13/95	
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R.B.		5,832,932		Elsberry et al.	11/10/98	

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Group Art Unit	3762
Examiner Name	Unknown

Sheet 3 of 10 Attorney Docket No. 33734-8046US

**U.S. PATENT DOCUMENTS**

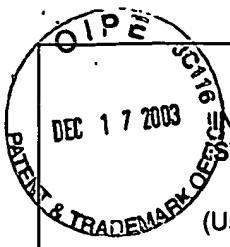
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		NUMBER	Kind Code (if known)			
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		6,026,326		Bardy	02/15/00	
R.B.		6,042,579		Elsberry et al.	03/28/00	

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Sheet 4 of 10 Attorney Docket No. 33734-8046US

**COMPLETE IF KNOWN**

Application Number	10/606,202
Confirmation Number	4373
Filing Date	June 24, 2003
First Named Inventor	Andrew D. Firlik
Group Art Unit	3762
Examiner Name	Unknown

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No.	U.S. Patent or Application		Name of Patentee or Inventor of Cited Document	Date of Publication or Filing Date of Cited Document
		NUMBER	Kind Code (if known)		
R.D.		6,052,624		Mann	04/18/00
		6,057,847		Sever, Jr.	05/02/00
		6,058,331		King	05/02/00
		6,055,456		Gerber	04/25/00
		6,060,048		Cherksey	05/09/00
		6,061,593		Fischell et al.	05/09/00
		6,066,163		John	05/23/00
		6,104,956		Naritoku et al.	08/15/00
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		6,126,657		Edwards et al.	10/03/00
		6,128,537		Rise	10/03/00
		6,128,538		Fischell et al.	10/03/00
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		6,152,143		Edwards	11/28/00
		6,161,044		Silverstone	12/12/00
		6,161,045		Fischell et al.	12/12/00
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		6,354,299		Fischell et al.	03/12/02
		6,360,122		Fischell et al.	03/19/02
		6,427,086		Fischell et al.	07/30/02
↓		6,459,936		Fischell et al.	10/01/02
R.D.		6,466,822		Pless	10/15/02

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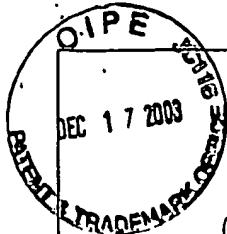
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				Group Art Unit	3762
				Examiner Name	Unknown
Sheet	5	of	10	Attorney Docket No. 33734-8046US	

## **U.S. PATENT DOCUMENTS**

## **FOREIGN PATENT DOCUMENTS**

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		Office	NUMBER	Kind Code (if known)				
R.C.		PCT	WO 98/06342		Neotonus, Inc.	02/19/98		
		PCT	WO 95/21591		University of Iowa Research Foundation	17/08/95		
		PCT	WO 01/97906		Advanced Bionics Corp	27/12/01		
		PCT	WO 94/07564		Cardiac Pacemakers, Inc.	14/04/94		
↓		PCT	WO 87/07511		Zion Educational Foundation	17/12/87		
R.C.		PCT	WO 02/09811		Neuropace, Inc.	07/02/02		

EXAMINER <i>R. Baldwin</i>	DATE CONSIDERED 9/29/05
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Sheet 6 of 10 Attorney Docket No. 33734-8046US

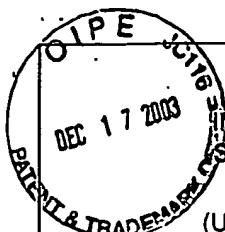
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Examiner Initials*	Cite No.	Foreign Patent or Application			Name of Patentee or Applicant of Cited Document	Date of Publication or Filing Date of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Office	NUMBER	Kind Code (if known)				
R.B.		PCT	WO 02/36003		Neuropace, Inc.	10/05/02		
		PCT	WO 02/38031		Neuropace, Inc.	16/05/02		
		PCT	WO 02/38217		Neuropace, Inc.	16/05/02		
R.B.		EP	1145736		Neuropace, Inc.	17/10/01		

**OTHER PRIOR ART-NON PATENT LITERATURE DOCUMENTS**

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R.B.		SIEBNER et al., "Lasting cortical activation after repetitive TMS of the motor cortex," NEUROLOGY 54, pp. 956-963 (February 2000)	
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		GORDON et al., "Parameters for direct cortical electrical stimulation in the human: histopathologic confirmation," Electroencephalography and clinical Neurophysiology, Vol. 75, pp. 371-377 (1990)	
R.B.		CRAMER, S.C. and BASTINGS, E.P., "Mapping clinically relevant plasticity after stroke," Neuropharmacology Vol. 19, No. 5, pp. 842-851 (April 2000)	

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First Named Inventor				Andrew D. Fliflik
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Examiner Name				Unknown
Sheet	7	of	10	Attorney Docket No. 33734-8046US

**OTHER PRIOR ART-NON PATENT LITERATURE DOCUMENTS**

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L.B.		HODGE, JR., C.J. and BOAKYE, M., "Biological Plasticity: The Future of Science in Neurosurgery," Neurosurgery, Vol. 48, No. 1 (January 2001)	
		NITSCHE, M.A. and PAULUS, W., "Excitability changes induced in the human motor cortex by weak transcranial direct current stimulation," The Journal of Physiology, Vol. 527.3, pp. 663-639 (2000)	
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EXAMINER	DATE CONSIDERED
<i>R. DeMeyer</i>	4/29/05
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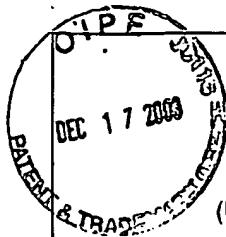
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Application Number	10/606,202
Confirmation Number	4373
Filing Date	June 24, 2003
First Named Inventor	Andrew D. Firtlik
Group Art Unit	3762
Examiner Name	Unknown

Attorney Docket No. 33734-8046US

<b>OTHER PRIOR ART-NON PATENT LITERATURE DOCUMENTS</b>		
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume issue number(s), publisher, city and/or country where published.
R.B.		SANES, J.N. and DONOGHUE, J.P., "Plasticity and Primary Motor Cortex," Annu. Rev. Neurosci. 23:393-415 (2000)
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↓		KOPELL et al., "The Continuing Evolution of Psychiatric Neurosurgery," CNS Spectrums, Vol. 5, No. 10, pp. 20-31 (October 2000)
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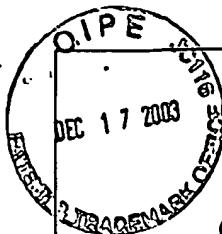
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L.B.		TURTON et al., "Contralateral and ipsilateral EMG responses to transcranial magnetic stimulation during recovery of arm and hand function after stroke," <i>Electroencephalography and Clinical Neurophysiology</i> 101 pp. 316-328 (1996)	
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L.B.		SCHIFF et al., "A neuromodulation strategy for rational therapy of complex brain injury states," <i>Neurological Research</i> , Vol. 22 pp. 267-272 (April 2000)	

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L.B.		GLADSTONE et al., "Enhancing Recovery after Stroke with Noradrenergic Pharmacotherapy: A New Frontier?", Can J. Neurol. Sci., Vol. 27, No. 2 (May 2000)			
		PASCUAL-LEONE et al., "Study and Modulation of Human Cortical Excitability With Transcranial Magnetic Stimulation," Journal of Clinical Neurophysiology, Vol. 15, No. 4 (1998)			
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		PCT International Search Report for Application No. PCT/US02/07077; Applicant: Vertis Neuroscience, Inc., October 22, 2002, 7 pgs.			
L.B.		PCT International Search Report, for Application No. PCT/US02/32695; Applicant: Vertis Neuroscience, Inc., December 27, 2002; 9 pgs.			

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